

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

KOSHIMA et al.

Serial No.: NOT YET ASSIGNED

Filed: HEREWITH

Atty. File No.: 5426JS-5

For: "METHOD FOR PRODUCING  
ASYMMETRIC ALKYL COMPOUND  
USING ALKALI-TREATED SOLID  
SUPPORT, AND ALKALI-TREATED  
SOLID SUPPORT USED IN THIS  
METHOD "

) Group Art Unit:

)

) Examiner:

)

) INFORMATION DISCLOSURE STATEMENT

)

)

)

) "EXPRESS MAIL" MAILING LABEL NUMBER: EV787436087US  
) DATE OF DEPOSIT: 21 Apr: 1 2006

I HEREBY CERTIFY THAT THIS PAPER OR FEE IS BEING  
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Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

The references cited on attached Form PTO-SB08 are being called to the attention of the Examiner.

- ☒ Copies of the cited non-patent and/or foreign references are enclosed herewith.
- ☐ Copies of the cited U.S. patents and/or patent applications are enclosed herewith.
- ☒ Copies of the cited U.S. patents/patent application publications are not enclosed in accordance with 37 C.F.R. § 1.98(a).
- ☐ Copies of the cited references are not enclosed, in accordance with 37 C.F.R. § 1.98(d), because the references were cited by or submitted to the U.S. Patent and Trademark Office in prior application Serial No. \_\_\_\_\_ filed \_\_\_\_\_, which is relied upon for an earlier filing date under 35 U.S.C. § 120.
- ☒ To the best of applicants' belief, the pertinence of the foreign-language references are believed to be summarized in the attached English abstracts and in the figures, although applicants do not necessarily vouch for the accuracy of the translation.

☐ Examiner's attention is drawn to the following co-pending applications, copies of which have been or are being submitted:

Serial No. \_\_\_\_\_ filed \_\_\_\_\_

Serial No. \_\_\_\_\_ filed \_\_\_\_\_

☒ Other: Copy of International Search Report for PCT Application No. PCT/JP2004/007393.

Submission of the above information is not intended as an admission that any item is citable under the statutes or rules to support a rejection, that any item disclosed represents analogous art, or that those skilled in the art would refer to or recognize the pertinence of any reference without the benefit of hindsight, nor should an inference be drawn as to the pertinence of the references based on the order in which they are presented. Submission of this statement should not be taken as an indication that a search has been conducted, or that no better art exists.

It is respectfully requested that the cited information be expressly considered during the prosecution of this application and the references made of record therein.

#### FEES

<input checked="" type="checkbox"/>	<p><b>37 CFR 1.97(b):</b> No fee is believed due in connection with this submission, because the information disclosure statement submitted herewith satisfies one of the following conditions ("X" indicates satisfaction):</p> <ul style="list-style-type: none"><li><input type="checkbox"/> Within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d), or</li><li><input checked="" type="checkbox"/> Within three months of the date of entry into the national stage of an international application as set forth in 37 CFR 1.491 or</li><li><input type="checkbox"/> Before the mailing date of a first Office Action on the merits, or</li><li><input type="checkbox"/> Before the mailing of a first Office action after the filing of a request for continued examination under 37 CFR 1.114.</li></ul> <p>Although no fee is believed due, if any fee is deemed due in connection with this submission, please charge such fee to Deposit Account 19-1970.</p>
<input type="checkbox"/>	<p><b>37 CFR 1.97(c):</b> The information disclosure statement transmitted herewith is being filed after all the above conditions (37 CFR 1.97(b)), but before the mailing date of one of the following conditions:</p> <ul style="list-style-type: none"><li>(1) a final action under 37 C.F.R. 1.113 or</li><li>(2) a notice of allowance under 37 C.F.R. 1.311, or</li><li>(3) an action that otherwise closes prosecution in the application.</li></ul> <p>This Information Disclosure Statement is accompanied by:</p> <ul style="list-style-type: none"><li><input type="checkbox"/> A Certification (below) as specified by 37 C.F.R. 1.97(e). Although no fee is believed due, if any fee is deemed due in connection with this submission, please charge such fee to Deposit Account 19-1970.</li></ul> <p style="text-align: center;">OR</p> <ul style="list-style-type: none"><li><input type="checkbox"/> Please charge Deposit Account 19-1970 in the amount of \$180.00 for the fee set forth in 37 C.F.R. 1.17(p) for submission of an information disclosure statement. Please credit any overpayment or charge any underpayment to Deposit Account 19-1970.</li></ul>

<input type="checkbox"/>	<p>37 CFR 1.97(d): This Information Disclosure Statement is being submitted after the period specified in 37 CFR 1.97(c).</p> <p><input type="checkbox"/> This information Disclosure Statement includes a Certification (below) as specified by 37 C.F.R. 1.97(e) AND</p> <p><input type="checkbox"/> Applicants hereby requests consideration of the reference(s) disclosed herein. Please charge Deposit Account 19-1970 in the amount of \$180.00 under 37 C.F.R. 1.17(p). Please credit any overpayment or charge any underpayment to Deposit Account 19-1970. Election to pay the fee should not be taken as an indication that applicant(s) cannot execute a certification.</p>
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**Certification (37 C.F.R. 1.97(e))**  
(Applicable only if checked)

- ☐ The undersigned certifies that:
- ☐ Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement. 37 C.F.R. 1.97(e)(1).
  - ☐ A copy of the communication from the foreign patent office is enclosed.
- OR
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. 1.56(c) more than three months prior to the filing of this statement. 37 C.F.R. 1.97(e)(2).

Respectfully submitted,

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Date:

4/21/06

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				<b>Complete if Known</b>	
				Application Number	NOT YET ASSIGNED 201576682
				Filing Date	HEREWITH
				First Named Inventor	Hideko KOSHIMA
				Art Unit	
				Examiner Name	
Sheet	1	of	1	Attorney Docket Number	5426JS-5

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number-kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee of Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US-2002-103374	08-01-2002	MARUOKA, Keiji	
		US-			

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> ; Number <sup>4</sup> ; Kind Code <sup>5</sup> (if known)		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		JP	- 2001-48866	02-20-2001	NAGASE & CO LTD		
			-				

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)		
Examiner Initials*	Cite No. <sup>1</sup>	
		Martin J. O'DONNELL et al. "A new catalyst species for enantioselective alkylation by phase-transfer catalysis, Tetrahedron, vol. 50, Issue 15, pp. 4507-4518, April 11, 1994
		Barry LYGO et al. "A New Class of Asymmetric Phase-Transfer Catalysts Derived From Cinchona Alkaloids - Application in the Enantioselective Synthesis of $\alpha$ -Amino Acids", Tetrahedron Letters, vol. 38, No. 49, pp. 8595-8598, 1997
		Adam NELSON "Asymmetric Phase-Transfer Catalysis" Agnew. Chem. Int. Ed., 38, No. 11, pp. 1583-1585, 1999
		Hyeung-geun PARK et al "Highly Enantioselective and Practical Cinchona-Derived Phase-Transfer Catalysts for the Synthesis of $\alpha$ -Amino Acids", Agnew. Chem. Int. Ed., 41, No. 16, pp. 3036-3038, 2002
		Takashi OOI et al., "Design of N-Spiro C2-Symmetric Chiral Quaternary Ammonium Bromides as Novel Chiral Phase-Transfer Catalysts: Synthesis and Application to Practical Asymmetric Synthesis of $\alpha$ -Amino Acids", J. Am. Chem. Soc., 125, pp. 5139-5151, 2003
		Haitao YU et al., "Alkylation of Glycine Imine Ester by Column Method", The Chemical Society of Japan 85 <sup>th</sup> Spring Meeting 3C3-14, March 28, 2005

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference is considered, whether or not citation is in conformance and not considered. Include copy of this form with next communication to applicant.